Pending Transactions

The Pending Transactions application allows users to View, Print, Download and Update Pending Transactions. Users will only have access to transactions that they have been authorized to view and/or update. Through the Pending Transaction area, users are provided the capability to track and view their transactions while they are being processed, i.e., from the time of initial entry until the transaction is posted to Treasury's Central Accounting System (STAR). When the transaction is posted to STAR, the Fund Balance with Treasury will be update to reflect the transaction.

Section III – Application(s) Requested:

FACTS I (Proprietary S GL) [] Online [] Bulk NOTES Business Lines: _____
FACTS II (Primarily Budgetary S GL) [] Online [] Bulk
FMS 224 [] Online STATEMENT OF DIFFERENCE [] Online
FMS 1219/1220 [] Online UNDISBURSED [] Online
RFC/AL [] Online WARRANTS [] Online
GWA BPD NET [] Online GWA BPD Reverse NET [] Online
GWA BPD Writeoff NET [] Online GWA NET [] Online
GWA Warrants [] Online GWA Apportionments [] Online

Operating System Used: Win 3.1 Win 95 Win 98 Win NT Win 2000 Win ME OS/390
MVS/ESA VM AIX Unix Other _____

Section IV – GOALS Marketing Processing Information:
[] Production
[] QA (Pilot)

APPLICATION	ROLES			
FACTS I (Select Either Primary or Backup and then select to only one role) Primary Prep [] Backup Prep []	PREPARER [] PREPARER & CFO []	PREPARER, NOTES Only []	SUPERVISOR [] SUPERVISOR & CFO []	CFO [] IG []
FACTS II	PREPARER []	CERTIFIER []	HQ REVIEWER []	
FMS 224	PREPARER []			
FMS 1219/1220	PREPARER []			
RFC/AL	FPA []	RFC []		
SOD	FPA []			
UBD	FPA []			
UNDISBURSED	FPA []			
GWA BPD NET	PREPARER []	CERTIFIER []	AGENCY ALL []	REVIEWER []
GWA BPD Reverse NET	PREPARER []	CERTIFIER []	AGENCY ALL []	REVIEWER []
GWA BPD Writeoff NET	REVIEWER []			
GWA NET	PREPARER []	CERTIFIER []	AGENCY ALL []	REVIEWER []
GWA Warrants	REVIEWER []			
GWA Apportionments	VIEWER []			

Section V – FMS Authorization:

COTR Name: _____ Date: __/__/__

Application Sponsor: _____ Date: __/__/__

Send to: GOALS Marketing Staff
Financial Management Service
3700 East West Highway, Room 800E
Hyattsville, MD 20782
Fax Number: 202-874-8170

Prior to entering the Pending Transaction area, you must complete the FMS ESSAS form that is available for download from the GOALS II Website **http://fms.treas.gov/goals/aboutgoalsii.html**). Pending Transactions is available for all GWA applications. The roles that can be selected are described below:

Agency Preparer – This role allows the user to enter a new Non-Expenditure Transfer SF-1151 request specific to the requested application(s), edit a request that has not been submitted to their certifying officer, monitor the status of requests that they have completed and to respond to rejections of submitted requests.

Agency All – This user role has been defined for those agencies that have limited resources available to separate the duties of both entering and certifying a Non-Expenditure Transfer SF-1151 request. Approval of the request for this role for the GWA BPD NET and GWA BPD Reverse NET applications is contingent upon the requestor having a current signature card on file at the Bureau of the Public Debt for credit reform accounts.

Agency Certifier – This role allows the user to certify a Non-Expenditure Transfer SF-1151 request that has been completed by an Agency Preparer within their organization, and to monitor the status of requests that they have certified. Approval of the request for

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this role for the GWA BPD NET and GWA BPD Reverse NET applications is contingent upon the requestor having a current signature card on file at the Bureau of the Public Debt for credit reform accounts.

Agency Reviewer – This user role allows the participant to monitor the status or view a Non-Expenditure Transfer SF-1151 request after certification by an Agency Certifier within their organization.
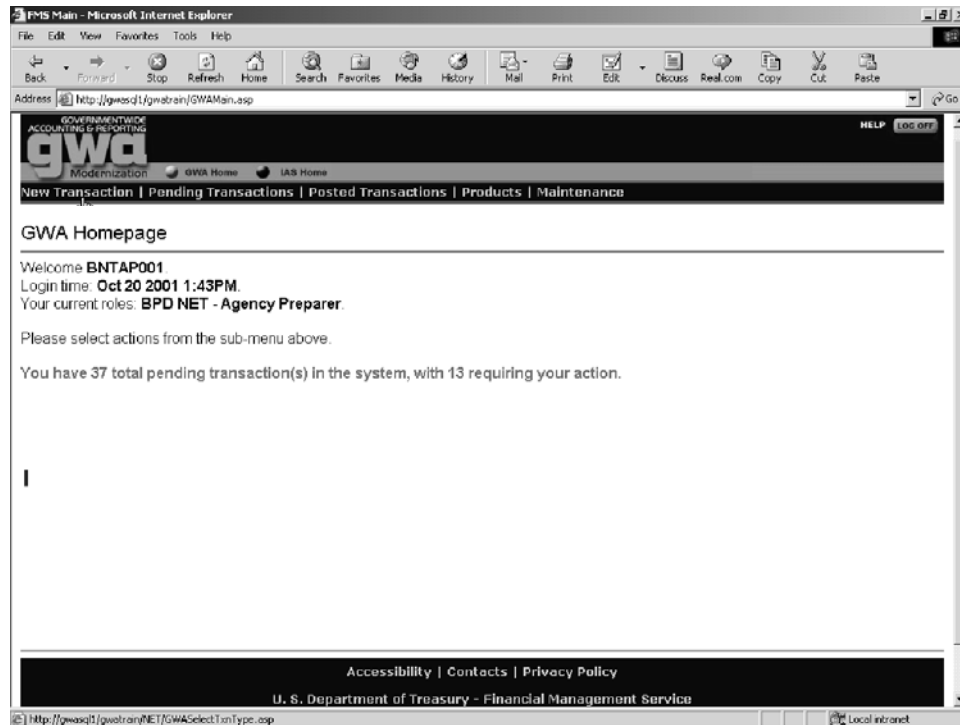
When a user enters the GWA Homepage, the total number of Pending Transactions along with the number of Pending Transactions requiring action by the user will be displayed. A Pending Transaction is a transaction that has been initiated by a user and has not yet been posted successfully to Treasury's Central Accounting System (STAR). Transactions will have different STATUSES as they progress from initiation to being Posted. Below is a list and description of the STATUSES a transaction can have:

- **Agency Certified** A transaction was 1) entered by an agency preparer and has been certified by an agency certifier or 2) entered by a user defined as Agency All. The transaction is awaiting action by the Bureau of Public Dept (if transaction is a Borrowing transaction) or the Financial Management Service (if transaction is a regular SF 1151 transaction)

- **Agency Rejected** - The transaction was entered by an agency preparer and has been rejected by an agency certifier and is awaiting action by the agency preparer

- **BPD Approved -** The transaction was entered by an agency preparer or agency all and has been approved by the Bureau of Public Debt.

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- **BPD Certified** - The transaction was entered by the Bureau of Public Debt on behalf of an agency and must be approved by a Bureau of Public Debt approver.

- **BPD Rejected** - The transaction was entered by an agency preparer, agency all or BPD preparer and has been rejected by the Bureau of Public Debt approver and is awaiting action by the agency preparer, agency all or BPD preparer

- **Finished** - The transaction has been completed by a preparer and is awaiting action by the agency certifier.

- **FMS Approved** – The transaction has been approved by FMS but must be approved by FMS publications prior to posting.

- **FMS Certified** – The transaction has been certified by the FMS analyst and is awaiting action by the FMS supervisor.

- **FMS Rejected** – The transaction has been rejected by the FMS analyst or the FMS supervisor and has been returned to the preparer for action.

- **New** - The transaction is in the process of being created

- **Star Interface** - The transaction has been approved for transmission to STAR

- **Pending Reversal** – The transaction is in the process of being reversed.

- **Posted** – The transaction has been posted to Treasury's Central Accounting System (STAR)

- **Publications Rejected** – The transaction has been rejected by the FMS publication supervisor and has been returned to the preparer for action.

- **Reversed** – The transaction has been reversed

- **Saved** - The transaction has been entered and saved by the user for completion at a later time

- **STAR Rejected** - The transaction has been rejected by STAR and is awaiting action of the preparer
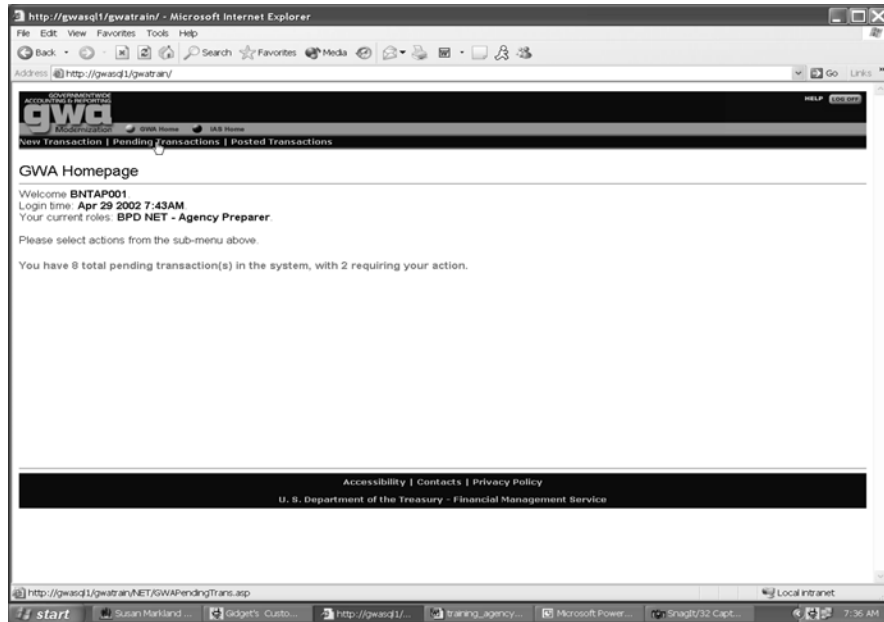
- To view all pending transactions, click on **Pending Transactions** with the left mouse button.

The Pending Transactions page will be displayed with filter and download features at the top portion of the screen.

The lower part of the screen displays all pending transactions **for all applications** that the user is authorized to view or update. A transaction with a radio button in the Select column will be available to the user to update. The user can only view a transaction that does not contain a radio button.

The list will contain up to 15 transactions. If there are more than 15 pending transactions, a link, **Next 15 Transactions ->**, will be displayed.

- To view the next 15 transactions, click on **Next 15 Transactions ->**.

The next set of transactions are displayed.

- To view the next 15 transactions, click on **Next 15 Transactions ->**.

- To return to the transactions on the previous page, click on **<- Previous 15 Transactions**.

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Filtering Transactions

Filter Transactions by Transaction Type

To filter the list of pending transactions,

- Click on the drop down Arrow next to the **Transaction Type** box with the left mouse button.

- Next, click on the **Transaction Type** that you want to filter by with the left mouse button.

Note: The **Transaction Type** is displayed with the transactions in the Pending List.

- Click on the **Submit** button with the left mouse button.

The Pending Transaction list will be displayed containing transactions meeting the filter criteria.

Filter Transactions by Status

- To filter the list of pending transactions, click on the drop down Arrow next to the **Status** box with the left mouse button.

Next click on the **Status** that you want to filter by with the left mouse button.

Note: The **Current Status** is displayed with the transactions in the Pending List

• Click on Submit with the left mouse button.

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The Pending Transaction list will be displayed containing transactions meeting the filter criteria.

Filter Transactions by Requires Action

A transaction requiring action by the user will have a radio button in the Select column. A transaction that does not contain a radio button in the select column does not require action by the user.

To filter the list of pending transactions,

- Click on the drop down Arrow next to the **Requires Action** box with the left mouse button.

- Next, click on **Yes** (transaction(s) will have a radio button and require user action) or **No** (transaction(s) will not have a radio button and do not require user action).

- Click on the **Submit** button with the left mouse button.

The Pending Transaction list will be displayed containing transactions meeting the filter criteria.

Note: the available radio button denotes the transactions that require action by the user.

Filter Transactions by Department Regular (Dept Reg)

To filter the list of pending transactions, click on the drop down Arrow next to the **Dept Reg** box with the left mouse button.

- Next click on the **Dept Reg** that you want to filter by with the left mouse button.

• Click on the **Submit** button with the left mouse button

The Pending Transaction list will be displayed containing transactions meeting filter criteria.

Filter Transactions by Account

- To filter the list of pending transactions, click on the drop down Arrow next to the **Account** box with the left mouse button. Accounts from the list of pending transactions will be displayed.

- Next, click on the **Account** that you want to filter by with the left mouse button.

- Click on the **Submit** button with the left mouse button

The Pending Transaction list will be displayed containing transactions meeting the filter criteria.

Filter Transactions by Legal Authority

- To filter the list of pending transactions, click on the drop down Arrow next to the **Legal Authority** box with the left mouse button.

- Next, click on the **Legal Authority** that you want to filter by with the left mouse button.

- Click on the **Submit** button with the left mouse button.

The Pending Transaction list will be displayed containing transactions meeting the filter criteria.

Various combinations of the filters can be used to obtain a desired result.

After submitting the request, the Pending Transaction list will be displayed containing transactions meeting the filter criteria.

Download Pending Transactions

The Three download options are displayed under the filter section, to the right of the screen. This feature will allow the user to download **the detail transactions** for all transaction appearing in the pending list.

Note: All detail transaction for the transaction contained in the list will be downloaded. To refine the transactions to be downloaded, use the filtering capability.

Downloading GWA Text Reports

- First, Click on the **Text** file format with the left mouse button
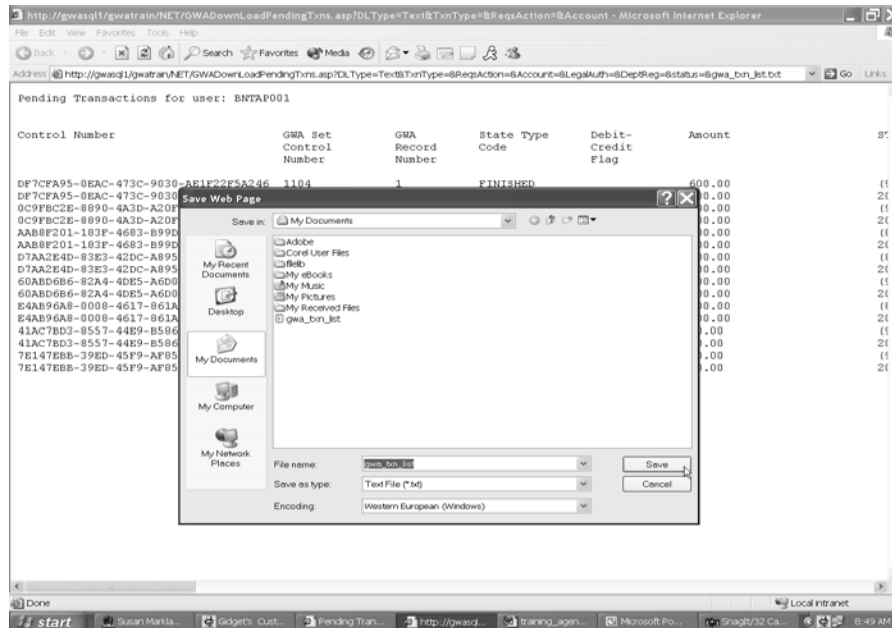
A separate browser window will appear

- Select **File** - **Save As** from your **browser menu**
- Verify or enter a **file name**
- Select the Directory where you want to save the file
- Select **Save**

The detail transactions are now downloaded to your computer in the text format

- After saving the information, Close the window by clicking on the X in the top right corner or select **File** - **Close** from your browser menu

Downloading GWA XML Reports

- First, Click on the **XML** file format with the left mouse button
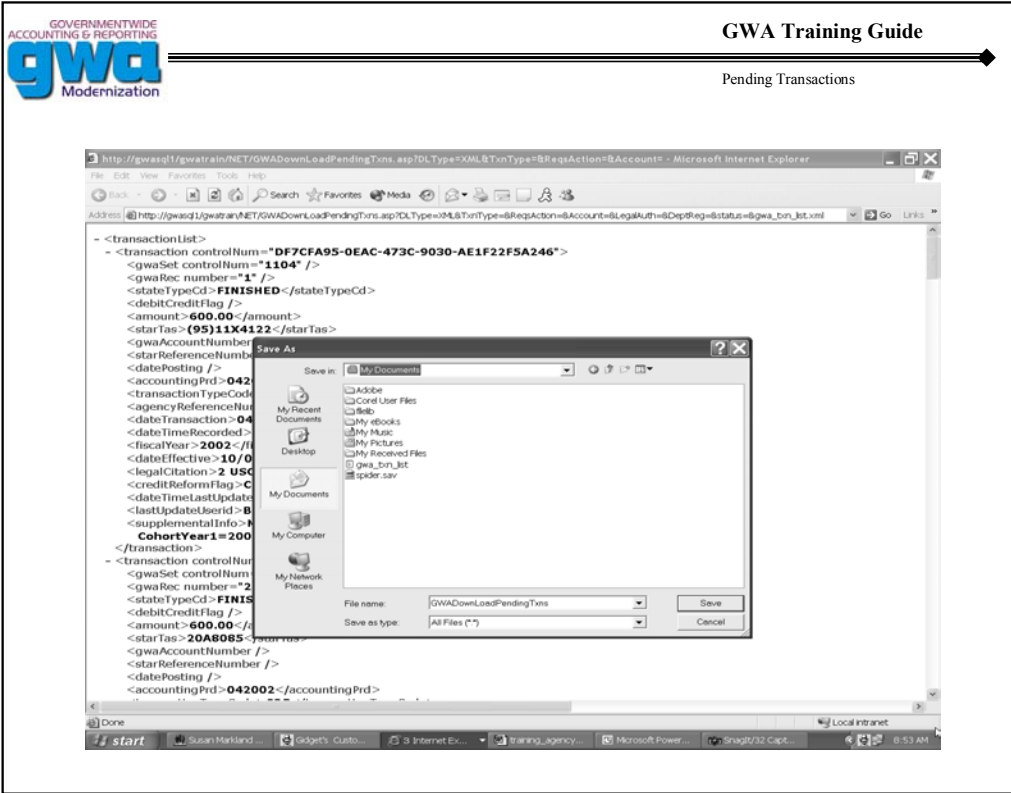
A separate browser window will appear

- Select **File** - **Save As** from your **browser menu**
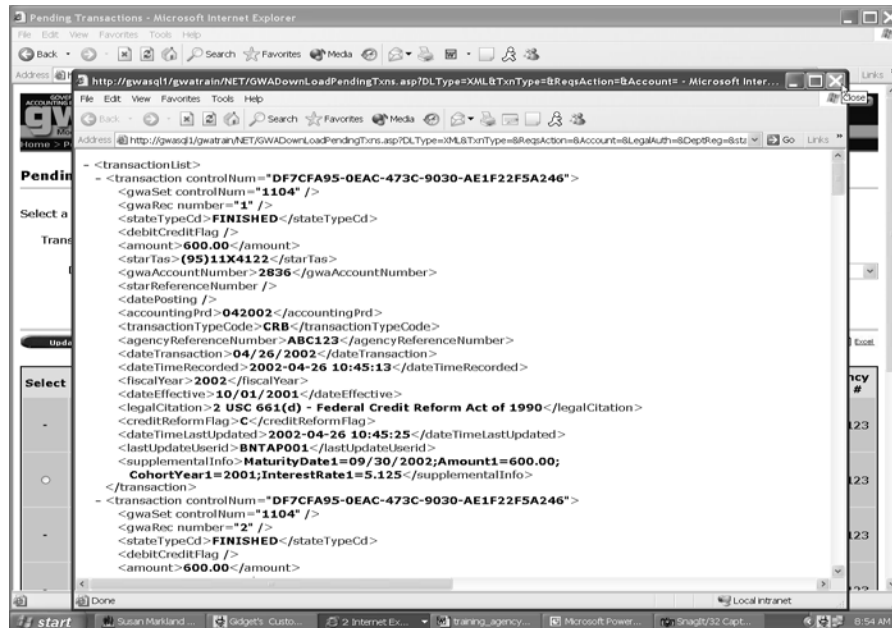- Select the Directory where you want to save the file
- Verify or enter a **file name**
- Select **Save**

The detail transactions are now downloaded to your computer in the XML format

- After saving the information, close the window by clicking on the X in the top right corner or select **File - Close** from your browser menu

Downloading GWA CSV Reports to Excel

- First, Select the **Excel** file **format** from the application screen.
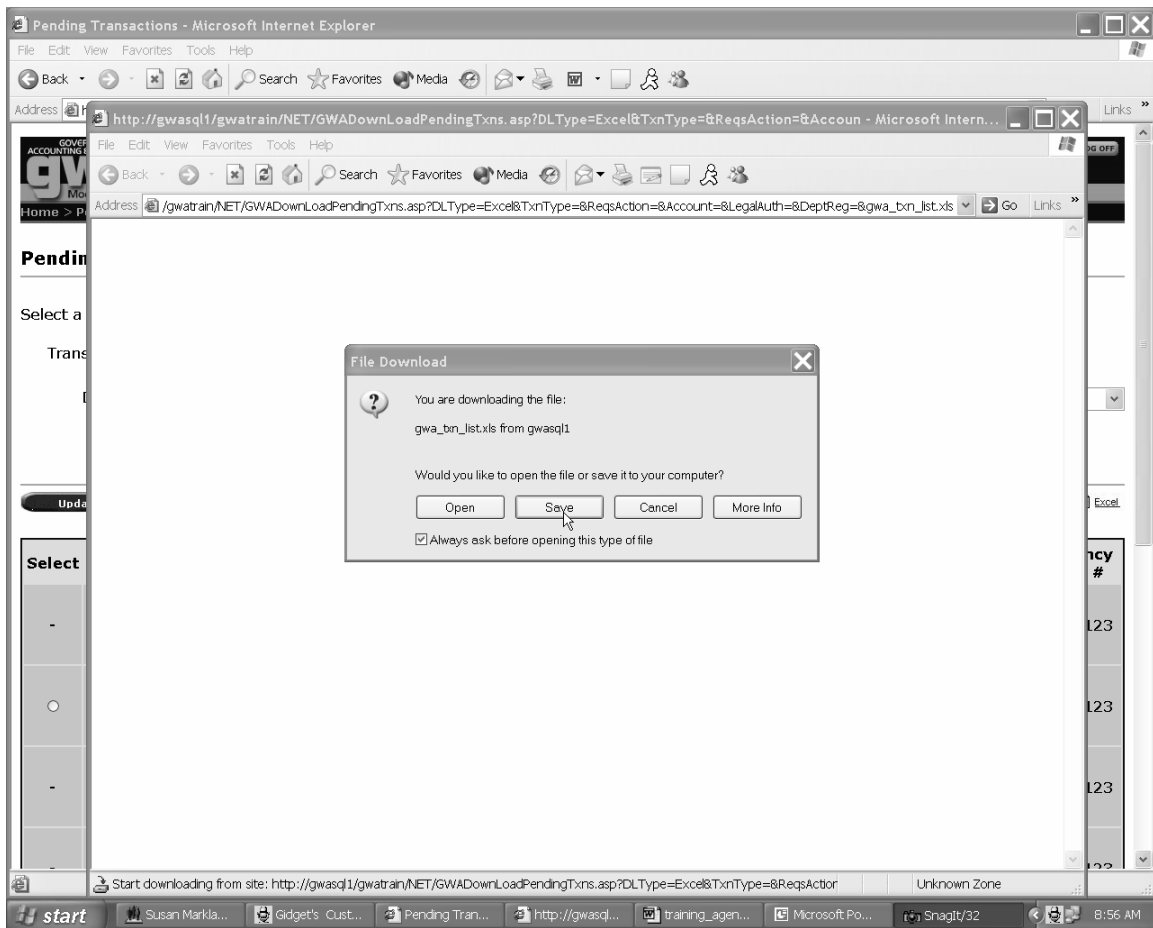
A File Download dialogue box will appear

- Select **File** - **Save** from the dialogue box.
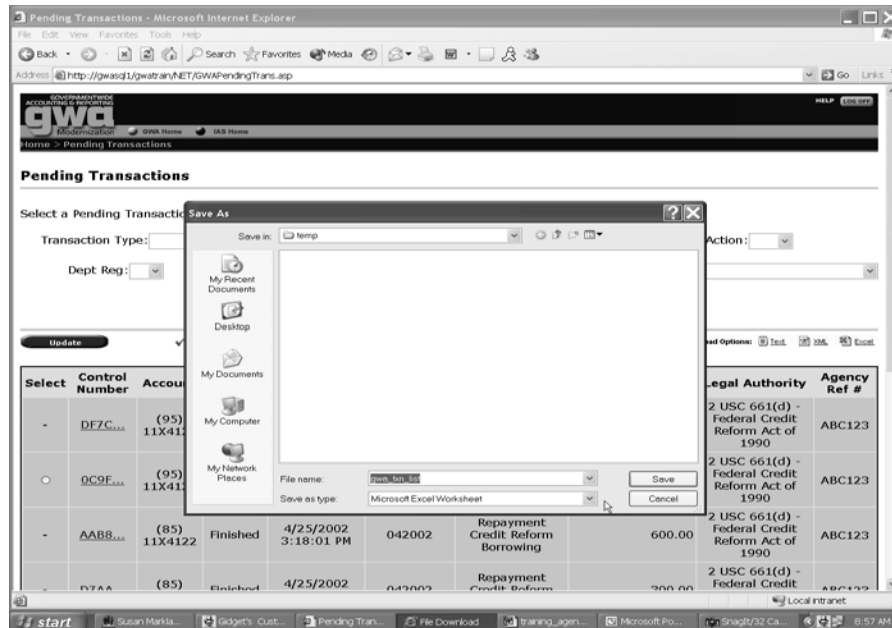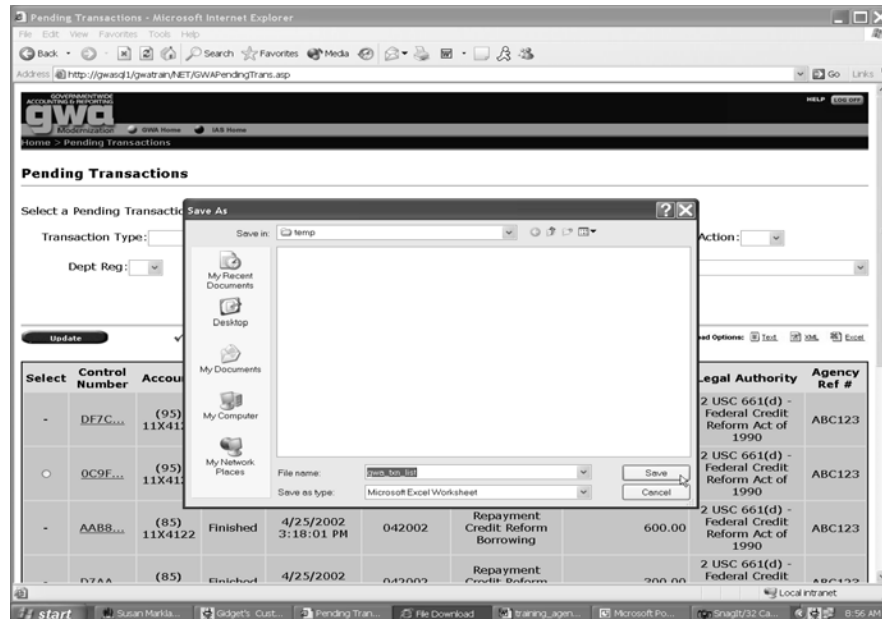
- Verify or enter a **file name**

- Verify or change the **directory**

- Select the Microsoft Excel Workbook file format from the **Save as type** menu

- Select **Save**

The detail transactions are now downloaded to your computer in the Excel format

View Pending Transaction Details

There will be occasions when a user wants to view transactions in a safe mode that does not allow for update or change. The next few pages will cover the procedures to view a transaction that does not allow for update.

- To begin, move the curser over the Control Number of the desired transaction and click the left mouse button
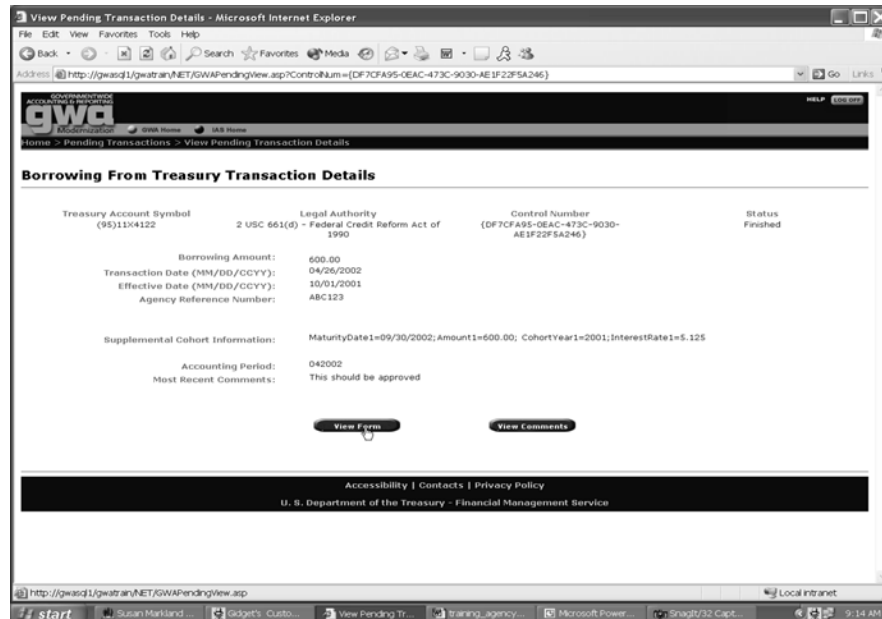
After the Control Number is clicked, the **Borrowing From Treasury Transaction Details** page is presented.

- From this screen, the transaction can be viewed in the 1151 format by clicking on the **View Form** button.

Note: To return to the Pending Transaction list, select on the **Pending Transactions** from the menu bar or press the back button on the browser

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After the **View Form** button is clicked, a new window showing the **Non-Expenditure Transfer Authorization** will be displayed.

From this screen,

- To close the window, click on the **X** at the top right hand corner of the window

- To print, select the printer icon from the **Browser** menu.
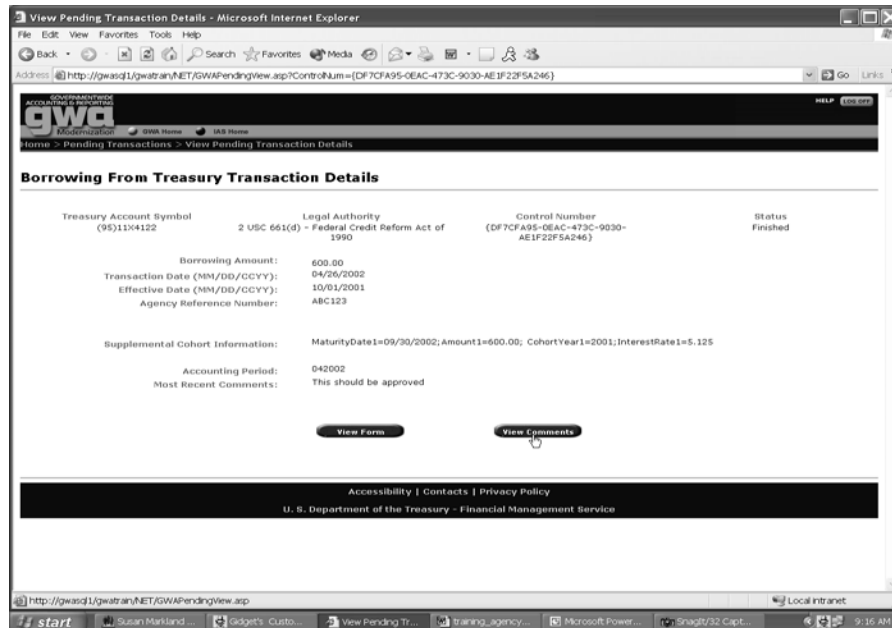
After the Control Number is clicked, the **Borrowing From Treasury Transactions Details** page is presented.

- From this screen, the comments can be viewed by clicking on the **View Comments** button.

Note: To return to the Pending Transaction list, select on the **Pending Transactions** from the menu bar or press the back button on the browser
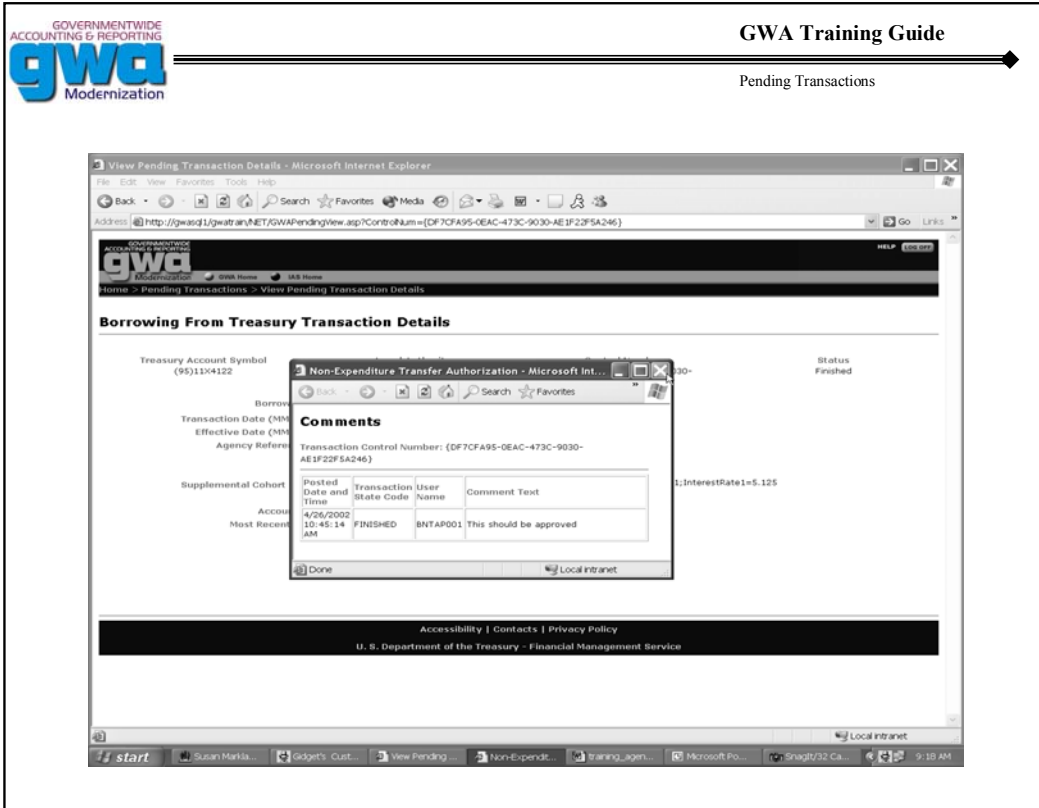
After the View Comments button is clicked, a new window showing the comments will be displayed. The **Transaction Control Number, Posted Date and Time, Transaction State Code (a.k.a Status Code), User Name and Comment Text** will be populated with information associated with the transaction.

From this screen,

- To close the window, click on the **X** at the top right hand corner of the window

- To print, select the printer icon from the **Browser** menu.

Update Pending Transactions

A transaction requiring updating by the user will have a radio button in the Select column. A transaction that does not contain a radio button in the select column does not require action by the user. Users that can update transaction fall into two general categories, **Preparers** and **Certifiers/Approvers**. Two examples will be presented, one for **Preparers** and another for **Certifiers/Approvers**.

Preparer Example

Preparers will need to update transactions when 1) a transaction was previously saved and needs to be retrieved for completion and 2) a transaction was rejected by a certifier/approver or STAR. The information in the Current Status field will allow the user to see why the transaction needs updating, i.e., saved, rejected, etc.

- To begin, move the curser over the radio button of the desired transaction and click the left mouse button. A black dot will appear in the radio button to indicate your selection.

- Go to the bottom or top of the page and click on the **Update** button with the left mouse button.

After the **Update** button is clicked, the transaction that requires updating is displayed. The **Status** field will allow the user to see why the transaction needs updating. In this example, the user previously saved the transaction and is now completing it. If a transaction is rejected, the same update procedures are followed.

Note: Once this update screen is displayed, the user should follow the procedures described in the **New Transaction** section. The process to enter and the validation for the transaction are contained there.

Note: Reject reasons and comments can be viewed by clicking on the View Comments button.

Certifier/Approver Example

Certifiers and Approvers will certify, approve or reject transactions through the Pending Transaction area. The information in the Current Status field will allow the user to see why the transaction needs updating.

- To begin, click on the Radio button under the Select column next to the transaction that needs updating.

- Go to the bottom or top of the page and click on the **Update** button with the left mouse button.

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After the Update button is clicked, the Approve Transaction screen is displayed.
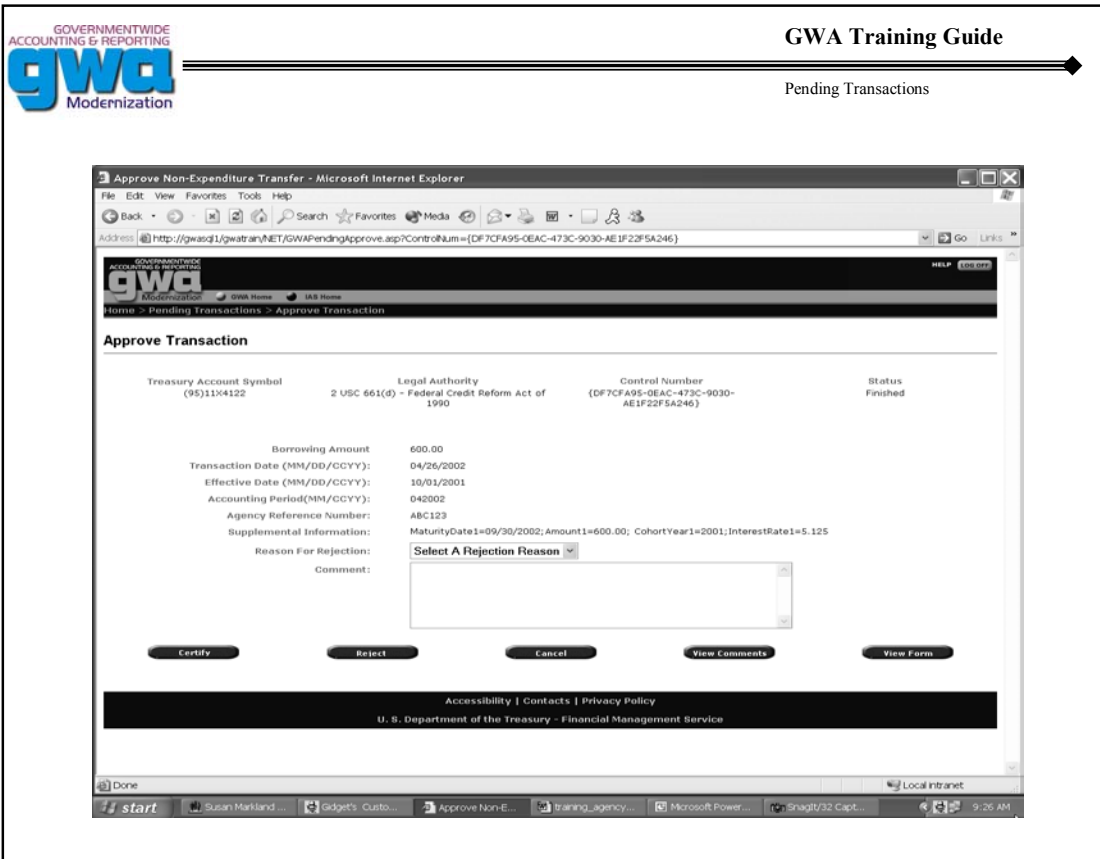
At the bottom of the screen, five buttons will appear; **Certify** or **Approve** (depending on the users role), **Reject**, **Cancel**, **View Comments** and **View Form**. Below is a description for each of the buttons:

Certify or **Approve** - The transaction will be certified/approved by the user when the **Certify** or **Approve** button is clicked.

Reject - The transaction will be rejected by the user when the **Reject** button is clicked.

Cancel - The transaction can be cancelled by clicking the **Cancel** button - no database updates will be made. If the **Cancel** Button is clicked inadvertently, you may use the Back feature of the web browser and return to the entry screen that will contain all the information you had entered.

View Comments – Clicking the **View Comments** button will allow the user to view and/or print comments associated with the transaction

View Form - The transaction can be viewed in the 1151 format by clicking on the **View Form** button.

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- To certify the transaction, click on the **Certify** or **Approve** button

The **Current Status** has changed to **Agency Certified**
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- To reject the transaction, click on the **Reject** button

Note: When rejecting a transaction, a reject reason is required.
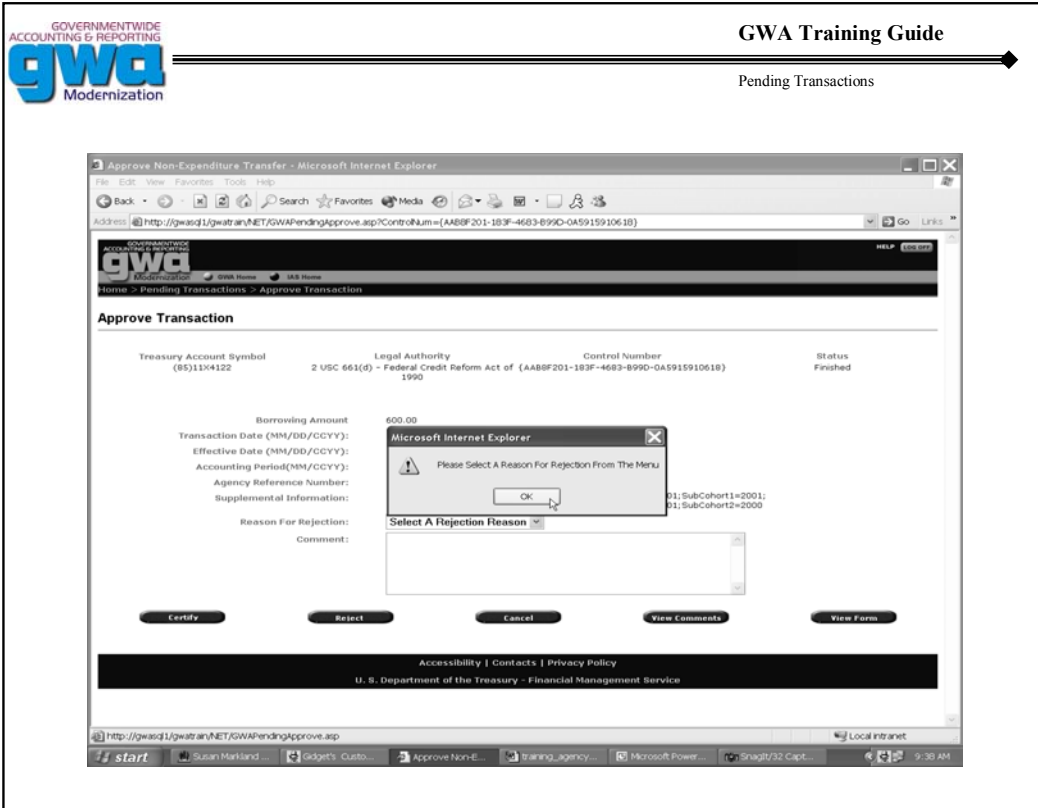
If the Reject button is clicked and a reject reason was not selected, an error message will be displayed.

- Click on **OK** to close the pop-up error message window.

- To select a reject reason from drop down list, click on the drop down Arrow to the right of the **Reject Reason** box with the left mouse button.

- Next, click on the appropriate reject reason within the drop down list with the left mouse button.

Note: If an appropriate reason is not listed, enter an explanation in the **Comment** box. The reject reason and comment will be associated with the transaction. This will provide the preparer with an explanation for the rejection.

- Click on the **Reject** button with the left mouse button

Note: The **Certify** button disappears once a reject reason is selected.

The **Current Status** has changed to **Agency Rejected**

Note: When a transaction is rejected, only the preparer can change or update the rejected transaction.

The menu bar can be used to navigate to other area of the system.

- To go back to the GWA Homepage, click on **Home** with the left mouse button.

- To enter a new transaction, click on **New Transaction** with the left mouse button. This will take the user to the New Transaction page.

- To log off the GWA system, click on the **LOG OFF** button that appears in the top right corner of the screen.